

0368

#34



McDonnell Boehnen Hulbert & Berghoff
Law Offices

Fax transmittal

To	Office of Initial Patent Examination	Date	01/22/02
Company	United States Patent Office	From	Mark W. Triplett
Fax	1 703 308 7751	Direct	312 913 0001 ext 2029
Phone	1 703 308 1202	Email	triplett@mbhb.com
Pages, with cover	8	C/M	460/39
Re	Duplicate copy of response to notice to file missing parts for 09/896,061 (attorney ref. no. 01-381)		

Dear Sir/Madam:

This is a copy of correspondence that was mailed to the USPTO on October 19, 2001. Please charge any fees to Deposit Account 13-2490. If the OIPE wishes to contact the undersigned, they may phone 312 913 0001 ext. 2029.

Respectfully submitted,

By: Mark Triplett
Mark W. Triplett
Reg. No. 49,002

Best Available Copy

300 South Wacker Drive 312 913 0001 phone
Chicago, Illinois 60605-6709 312 913 0002 fax
www.mbhb.com

Please notify receptionist at
312 913 0001 if all pages
are not received.
If you received this fax in error,
please notify us immediately by
phone (collect) to arrange for
return of the document

This transmittal is strictly for
delivery only to the person listed
above. It may contain confidential
or privileged information, the
disclosure of which is prohibited

UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 01-381)

In The Application Of:

Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

Title Automated Execution System Having
Participation

Examiner:

Group Art Unit:

TRANSMITTAL LETTER

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Sir:

In regard to the above identified application:

1. We are transmitting herewith the attached:

- a. A Copy of Notice To File Missing Parts;
- b. Response to Notice to File Missing Parts;
- c. Executed Copy of Oath of Declaration; and
- d. Return Receipt Postcard.

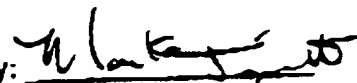
2. With respect to additional fees:

☒ Check in the amount of \$130.00.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490.
A duplicate copy of this sheet is enclosed.

4. **CERTIFICATE OF MAILING UNDER 37 CFR § 1.8:** The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 19th day of October, 2001.

Respectfully submitted,

By: 
Mark W. Triplett
Reg. No. 49,002

Best Available Copy

**PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Case No. 01-381)**

In the Application of:

Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

For: Automated Execution System
Having Participation

Examiner:

Group Art Unit:

**RESPONSE TO NOTICE TO FILE MISSING PARTS
MAILED AUGUST 21, 2001**

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

Sir:

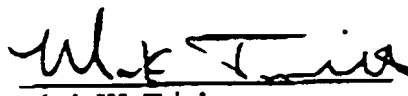
Responsive to the Notice to File Missing Parts of Application, mailed August 21, 2001,
Applicants submit herewith an executed copy of their Declaration, pursuant to 37 C.F.R. §§1.63
and 1.68.

A check in the amount of \$130.00 accompanies this Response.

Respectfully submitted,
McDonnell Boehnen Hulbert & Berghoff

Date: October 19, 2001

By:


Mark W. Triplet
Reg. No. 49,002

Best Available Copy

FILE COPY

Hon. Commissioner of
Patents and Trademarks

09/896,061

Atty: MWT/es

Re: Applicant - Schmitz, et al.

Case No. 01-381

AUTOMATED EXECUTION SYSTEM HAVING PARTICIPATION

Sir:

Please place the Patent Office receipt stamp hereon and mail to acknowledge receipt of:

- ☒ Transmittal Letter (in duplicate)
- ☒ Response to Notice to File Missing Parts of Application
- ☒ Executed copy of Oath or Declaration
- ☒ Certificate of Mailing

Fee Enclosed
\$ 130.00

Date Mailed: October 19, 2001

Respectfully,
McDonnell Boeniger Hulbert & Bergoff
Attorney for Applicant

Best Available Copy

MC DONNELL BOEHNEN
HULBERT & BERGHOFF
300 S. WACKER DR., 32ND FLOOR
CHICAGO, IL 60606-6701

FIRSTAR BANK, N.A.
70-477-719

31193

CHECK NO.

CHECK DATE

VENDOR NO.

09/14/01 AS0901

CHECK AMOUNT

NE HUNDRED THIRTY AND 00/100 DOLLARS*****

\$*****130.00

Commissioner of Patents

⑈031193⑈ ⑆071904779⑆

467079629⑈



Best Available Copy



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/896,061	06/29/2001	David J. Schmitz	01-381

CONFIRMATION NO. 9465

FORMALITIES LETTER



OC00000006456084

Mark W. Triplett
McDonnell Boehnen Hulbert & Berghoff
300 S. Wacker Drive, 32nd Floor
Chicago, IL 60606

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

DOCKETED

AUG 27 2001

01/22/2002 SFELEKE1 00000006 09896061

DUE DATE: 10/21/01
BY: KB CB

01 FC:105

130.00 OP

Best Available Copy